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|--|--------------------------|--|
| <b>DECLARATION FOR UTILITY OR<br/>DESIGN<br/>PATENT APPLICATION</b><br>(37 CFR 1.63) | Attorney Docket Number   | 4002-2120  |
|  | First Named Inventor     | B. Thomas Barker   |
|  | <b>COMPLETE IF KNOWN</b> |  |
|  | Application Number       | 09/387,991   |
|  | Filing Date              | September 1, 1999  |
|  | Group Art Unit ...       | 3738   |
| <input type="checkbox"/> Declaration Submitted with Initial Filing                   | OR                       | <input type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required) |
| Examiner Name  |                          |  |

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

MULTI-AXIAL BONE SCREW ASSEMBLY

the specification of which

— is attached hereto

OR

☒ was filed on (MM/DD/YYYY) 09/01/1999 as United States Application Number or PCT International Application Number 09/387,991 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application Number(s) | Country | Foreign Filing Date (MM/DD/YYYY) | Priority Not Claimed     | Certified Copy Attached? |                          |
|-------------------------------------|---------|----------------------------------|--------------------------|--------------------------|--------------------------|
|                                     |         |                                  |                          | YES                      | NO                       |
|                                     |         |                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                                     |         |                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                                     |         |                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                                     |         |                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/029 attached hereto.

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

| Application Number(s) | Filing Date (MM/DD/YYYY) |
|-----------------------|--------------------------|
|                       |                          |

☐ Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/029 attached hereto.

(Page 1 of 2)

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## DECLARATION — Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

| U.S. Parent Application or PCT Parent Number | Parent Filing Date (MM/DD/YYYY) | Parent Patent Number (if applicable) |
|--|---------------------------------|--------------------------------------|
|  |                                 |                                      |

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/029 attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

☐ Customer Number

OR

☐ Registered practitioner(s) name/registration number listed below

Place Customer Number Bar Code Label here

| Name | Registration Number | Name | Registration Number |
|------|---------------------|------|---------------------|
|      |                     |      |                     |

☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to: ☒ Customer Number or Bar Code Label ☐ Correspondence address below

|         |  |           |                |     |                |
|---------|--|-----------|----------------|-----|----------------|
| Name    | Christopher A. Brown, Esq.                           |           |                |     |                |
| Address | Woodard, Emhardt, Naughton, Moriarty & McNett        |           |                |     |                |
| Address | 111 Monument Circle, Ste. 3700 Bank One Center/Tower |           |                |     |                |
| City    | Indianapolis   | State     | IN             | ZIP | 46204-5194     |
| Country | U.S.A.   | Telephone | (317) 634-3456 | Fax | (317) 637-7561 |

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

|  |                         |   |    |         |         |
|--|-------------------------|---|----|---------|---------|
| Name of Sole or First Inventor:        |                         | <input type="checkbox"/> A petition has been filed for this unsigned inventor |    |         |         |
| Given Name (first and middle (if any)) |                         | Family Name or Surname  |    |         |         |
| B. Thomas                              |                         | Barker  |    |         |         |
| Inventor's Signature                   | <i>B. Thomas Barker</i> |   |    | Date    | 11-1-99 |
| Residence: City                        | Bartlett                | State   | TN | Country | U.S.A.  |
| Post Office Address                    | 7460 Dorrington Cove    |   |    |         |         |
| Post Office Address                    |                         |   |    |         |         |
| City                                   | Bartlett                | State   | TN | ZIP     | 38133   |
|  |                         |   |    | Country | U.S.A.  |

☐ Additional inventors are being named on the \_\_\_\_\_ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto

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| <h2 style="margin: 0;">DECLARATION</h2> | <b>ADDITIONAL INVENTOR(S)</b><br><b>Supplemental Sheet</b><br>Page <u>3</u> of <u>4</u> |
|---|---|

|   |                           |   |    |                        |        |             |                  |
|---|---------------------------|---|----|------------------------|--------|-------------|------------------|
| Name of Additional Joint Inventor, if any:  |                           | <input type="checkbox"/> A petition has been filed for this unsigned inventor |    |                        |        |             |                  |
| Given Name (first and middle (if any))      |                           |   |    | Family Name or Surname |        |             |                  |
| John Stewart                                |                           |   |    | Young                  |        |             |                  |
| Inventor's Signature                        | <i>John Stewart Young</i> |   |    |                        |        | Date        | OCTOBER 14, 1999 |
| Residence: City                             | Memphis                   | State   | TN | Country                | U.S.A. | Citizenship | U.S.             |
| Post Office Address<br>4282 Philsdale Cove  |                           |   |    |                        |        |             |                  |
| Post Office Address                         |                           |   |    |                        |        |             |                  |
| City  | Memphis                   | State   | TN | ZIP                    | 38111  | Country     | U.S.A.           |
| Name of Additional Joint Inventor, if any:  |                           | <input type="checkbox"/> A petition has been filed for this unsigned inventor |    |                        |        |             |                  |
| Given Name (first and middle (if any))      |                           |   |    | Family Name or Surname |        |             |                  |
| Craig                                       |                           |   |    | Squires                |        |             |                  |
| Inventor's Signature                        | <i>Craig W. Squires</i>   |   |    |                        |        | Date        | OCTOBER 14, 1999 |
| Residence: City                             | Memphis                   | State   | TN | Country                | U.S.A. | Citizenship | U.S.             |
| Post Office Address<br>3698 Kenwood Ave.    |                           |   |    |                        |        |             |                  |
| Post Office Address                         |                           |   |    |                        |        |             |                  |
| City  | Memphis                   | State   | TN | ZIP                    | 38122  | Country     | U.S.A.           |
| Name of Additional Joint Inventor, if any:  |                           | <input type="checkbox"/> A petition has been filed for this unsigned inventor |    |                        |        |             |                  |
| Given Name (first and middle (if any))      |                           |   |    | Family Name or Surname |        |             |                  |
| David                                       |                           |   |    | Brumfield              |        |             |                  |
| Inventor's Signature                        | <i>David Brumfield</i>    |   |    |                        |        | Date        | 18 Oct '99       |
| Residence: City                             | Southaven                 | State   | MS | Country                | U.S.A. | Citizenship | U.S.             |
| Post Office Address<br>5685 Plum Tree Drive |                           |   |    |                        |        |             |                  |
| Post Office Address                         |                           |   |    |                        |        |             |                  |
| City  | Southaven                 | State   | MS | ZIP                    | 38671  | Country     | U.S.A.           |

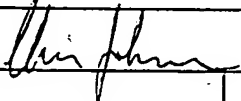
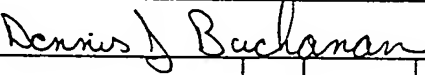
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
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| <b>DECLARATION</b> | <b>ADDITIONAL INVENTOR(S)</b><br>Supplemental Sheet<br>Page ___ of ___ |
|--------------------|--|

|  |   |       |    |   |                  |             |        |
|--|---|-------|----|---|------------------|-------------|--------|
| Name of Additional Joint Inventor, if any: |   |       |    | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                  |             |        |
| Given Name (first and middle (if any))     |   |       |    | Family Name or Surname  |                  |             |        |
| Chris                                      |   |       |    | Johnson   |                  |             |        |
| Inventor's Signature                       |    |       |    | Date  | OCTOBER 14, 1999 |             |        |
| Residence: City                            | Germantown  | State | TN | Country   | U.S.A.           | Citizenship | U.S.A. |
| Post Office Address                        | 7174 Wickshire Cove E.  |       |    |   |                  |             |        |
| Post Office Address                        |   |       |    |   |                  |             |        |
| City                                       | Germantown  | State | TN | ZIP   | 38138            | Country     | U.S.A. |
| Name of Additional Joint Inventor, if any: |   |       |    | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                  |             |        |
| Given Name (first and middle (if any))     |   |       |    | Family Name or Surname  |                  |             |        |
| Dennis J.                                  |   |       |    | Buchanan  |                  |             |        |
| Inventor's Signature                       |  |       |    | Date  | OCTOBER 14, 1999 |             |        |
| Residence: City                            | Memphis   | State | TN | Country   | U.S.A.           | Citizenship | U.S.A. |
| Post Office Address                        | 2435 Morning Vista Drive  |       |    |   |                  |             |        |
| Post Office Address                        |   |       |    |   |                  |             |        |
| City                                       | Memphis   | State | TN | ZIP   | 38134            | Country     | U.S.A. |
| Name of Additional Joint Inventor, if any: |   |       |    | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                  |             |        |
| Given Name (first and middle (if any))     |   |       |    | Family Name or Surname  |                  |             |        |
|  |   |       |    |   |                  |             |        |
| Inventor's Signature                       |   |       |    | Date  |                  |             |        |
| Residence: City                            |   | State |    | Country   |                  | Citizenship |        |
| Post Office Address                        |   |       |    |   |                  |             |        |
| Post Office Address                        |   |       |    |   |                  |             |        |
| City                                       |   | State |    | ZIP   |                  | Country     |        |

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| DECLARATION             |                        | REGISTERED PRACTITIONER<br>INFORMATION<br>(Supplemental Sheet) |                        |
|-------------------------|------------------------|--|------------------------|
| Name                    | Registration<br>Number | Name   | Registration<br>Number |
| Harold R. Woodard       | 16,214                 |  |                        |
| C. David Emhardt        | 18,483                 |  |                        |
| Joseph A. Naughton, Jr. | 19,814                 |  |                        |
| John V. Moriarty        | 26,207                 |  |                        |
| John C. McNett          | 25,533                 |  |                        |
| Thomas Q. Henry         | 28,309                 |  |                        |
| James M. Durlacher      | 28,840                 |  |                        |
| Charles R. Reeves       | 28,750                 |  |                        |
| Vincent O. Wagner       | 29,596                 |  |                        |
| Steve Zlatos            | 30,123                 |  |                        |
| Spiro Bereveskos        | 30,821                 |  |                        |
| William F. Bahret       | 31,087                 |  |                        |
| Clifford W. Browning    | 32,201                 |  |                        |
| R. Randall Frisk        | 32,221                 |  |                        |
| Daniel J. Lueders       | 32,581                 |  |                        |
| Kenneth A. Gandy        | 33,386                 |  |                        |
| Timothy N. Thomas       | 35,714                 |  |                        |
| Kerry P. Sisselman      | 37,237                 |  |                        |
| Kurt N. Jones           | 37,996                 |  |                        |
| John H. Allie           | 39,088                 |  |                        |
| Holiday W. Banta        | 40,311                 |  |                        |
| Troy J. Cole            | 35,102                 |  |                        |
| L. Scott Paynter        | 39,797                 |  |                        |
| J. Andrew Lowes         | 40,706                 |  |                        |
| Charles J. Meyer        | 41,996                 |  |                        |
| Darrin Wesley Harris    | 40,636                 |  |                        |
| Matthew R. Schantz      | 40,800                 |  |                        |
| Gregory B. Coy          | 40,967                 |  |                        |
| Lisa A. Hiday           | 40,036                 |  |                        |
| John V. Daniluck        | 40,581                 |  |                        |
| Christopher A. Brown    | 41,642                 |  |                        |
| Jason J. Schwartz       | 43,910                 |  |                        |
| Arthur J. Usher IV      | 41,359                 |  |                        |
| Douglas A. Collier      | 43,556                 |  |                        |
| Scott J. Stevens        | 29,446                 |  |                        |
| James B. Myers          | 42,021                 |  |                        |

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